OIPE JC54 MAR 29 2002 PATENT & TRADEMARK OFFICE

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/997,623
Filing Dat	November 29, 2001
First Named Inventor	Kim Vilbour Andersen
Group Art Unit	1646
Examiner Name	Unassigned
Total Number of Pages in This Submission: 18	Attorney Docket Number: 0219us410

ENCLOSURES *(check all that apply)*

- [x] Fee Transmittal Form (x 2)
  - [ ] Fee Attached
- [ ] Amendment / Reply
  - [ ] After Final
  - [ ] Affidavits/declaration(s)
- [ ] Extension of Time Request
- [ ] Express Abandonment Request
- [ ] Information Disclosure Statement
- [ ] Certified Copy of Priority Document(s)
- [x] Response to Missing Parts/ Incomplete Application
  - [x] Response to Missing Parts under 37 CFR 1.52 or 1.53
- [ ] Assignment Papers *(for an Application)*
- [ ] Drawing(s)
- [ ] Licensing-related Papers
- [ ] Petition
- [ ] Petition to Convert to a Provisional Application
- [ ] Power of Attorney, Revocation Change of Correspondence Address
- [ ] Terminal Disclaimer
- [ ] Request for Refund
- [ ] CD, Number of CD(s) _____
- [ ] After Allowance Communication to Group
- [ ] Appeal Communication to Board of Appeals and Interferences
- [ ] Appeal Communication to Group *(Appeal Notice, Brief, Reply Brief)*
- [ ] Proprietary Information
- [ ] Status Letter
- [x] Other Enclosure(s) *(please identify below)*:

Transmittal Letter-Response to Notice to File Missing Parts; Executed Declaration; Two Powers of Attorney; Two Statements Under 37 CFR 3.73(b) with copies of Assignment documents; Copy of Notice to File Missing Parts; Return Postcard

Remarks

Please charge Deposit Account No. 50-0990 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm *or* Individual name	Joanne R. Petithory, Reg. No. 42, 995
Signature	Joanne R. Petithory
Date	March 25, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited in the United States Postal Service as first class mail in an envelope address to: U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202, Attn: Box Missing Parts on: March 25, 2002

Typed or printed name	Diana M. Schaller		
Signature	Diana Schaller	Date	March 25, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/17 (10-01)
Approved for use through 10/31/2002. OMB 0651-0032
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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT ($) 130.00

Complete if Known	
Application Number	09/997,623
Filing Date	November 29, 2001
First Named Inventor	Kim Vilbour Andersen
Examiner Name	Unassigned
Group Art Unit	1646
Attorney Docket No.	0219us410

METHOD OF PAYMENT

1. ☑ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 50-0990

Deposit Account Name: Maxygen, Inc.

☑ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ **Payment Enclosed:**

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) ($) 0.00

2. EXTRA CLAIM FEES

		Extra Claims		Fee from below		Fee Paid
Total Claims		-20** =		X	=	
Independent Claims		- 3** =		X	=	
Multiple Dependent					=	

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for *ex parte* reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) ($) 130.00

SUBMITTED BY				Complete *(if applicable)*	
Name (Print/Type)	Joanne R. Petithory	*Registration No. (Attorney/Agent)*	42,995	*Telephone*	(650) 298-5300
Signature	Joanne R Petithory			*Date*	March 25, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202
Attn: Box Missing Parts

On March 25, 2002

By Diana Schaller
Diana M. Schaller

Attorney Docket No. 0219us410

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Kim Vilbour Andersen, et al.

Application No.: 09/997,623

Filed: November 29, 2001

For: Protein C or Activated Protein C-Like Molecules

Examiner: Unassigned

Art Unit: 1646

TRANSMITTAL LETTER - RESPONSE TO NOTICE OF MISSING PARTS

U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202
Attn: Box Missing Parts

Sir:

Pursuant to the "Notice to File Missing Parts of Application - Filing Date Granted" dated February 5, 2002, enclosed are the following to be made of record in the above-identified application:

1) Executed Declaration;
2) Two Powers of Attorney and Two Statements Under 37 C.F.R. 3.73(b) **(+ copies of Assignments - not for recordation-note: The Assignments for recordation are being sent concurrently under separate cover to Box Assignment, pursuant to the MPEP @ Page 300-M and Form PTO-1619A)**;
3) Copy of Notice of Missing Parts;
4) Fee Transmittal Sheet;

5) Transmittal Sheet;
6) Return postcard

Please note that the Sequence Listing, Statement Accompanying Sequence Listing and the computer diskette containing the sequence listing in computer readable format **are being sent concurrently under separate cover to U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202, pursuant to the Attachment to "Notice to Comply with Requirements... Sequence Disclosures" as attached to the Notice to File Missing Parts of Application as received in the above-identified application.**

Please charge Deposit Account No. 50-0990 for the following fees:

Missing Parts Surcharge	$ 130.00
TOTAL FEES TO BE CHARGED	$ 130.00

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 50-0990.

Respectfully submitted,

Joanne R. Petithory
Reg. No. 42,995

Maxygen, Inc.
515 Galveston Drive
Redwood City, California 94063
Customer No. 30560
Direct Line: (650) 298-5452
Telephone: (650) 298-5300
Facsimile: (650) 298-5446

#3

O I P E JC54
MAR 29 2002
PATENT & TRADEMARK OFFICE

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/997,623	11/29/2001	Kim Vilbour Andersen	0219US410

CONFIRMATION NO. 7550

FORMALITIES LETTER

OC000000007420166

Joanne Petithory
Maxygen, Inc.
515 Galveston Drive
Redwood City, CA 94063

Date Mailed: 02/05/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of $130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is $ 130.**

- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- **For Rules Interpretation, call (703) 308-4216**

- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.g v or patin3help@uspto.gov**

A copy of this notice MUST be returned with the reply.

M. Manuel

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY